

FIG. 1

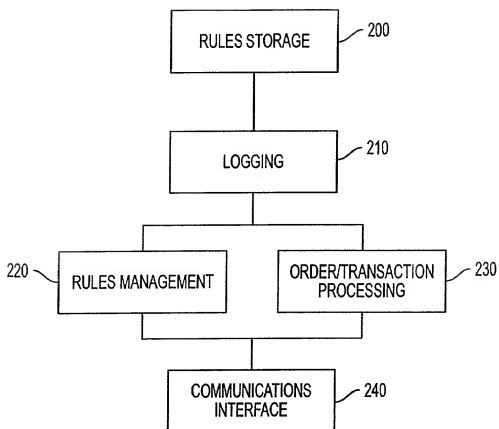


FIG. 2

EXAMPLE:			
<u>NUMBER</u>	<u>TYPE</u>	<u>POSSIBLE LEVEL(S)</u>	<u>POSSIBLE OUTCOME(S)</u>
1011	MANDATORY	FIRM	STOP

THIS RULE STOPS AN ORDER FOR AN ACCOUNT THAT IS CLOSED.

FIG. 3A

EXAMPLE:			
<u>NUMBER</u>	<u>TYPE</u>	<u>POSSIBLE LEVEL(S)</u>	<u>POSSIBLE OUTCOME(S)</u>
1141	OPTIONAL	FIRM OFFICE INVESTMENT PROFESSIONAL ACCOUNT	STOP APPROVAL WARNING ACCEPTANCE

THIS RULE INDICATES THAT AN ORDER HAS BEEN PLACED WHICH EXCEEDS A CREDIT LIMIT PARAMETER

FIG. 3B

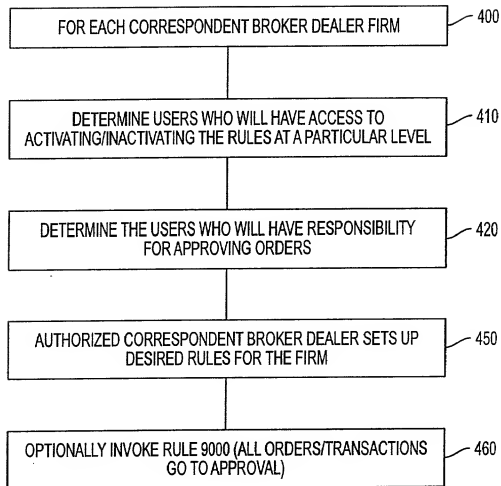


FIG. 4

00027333-010200

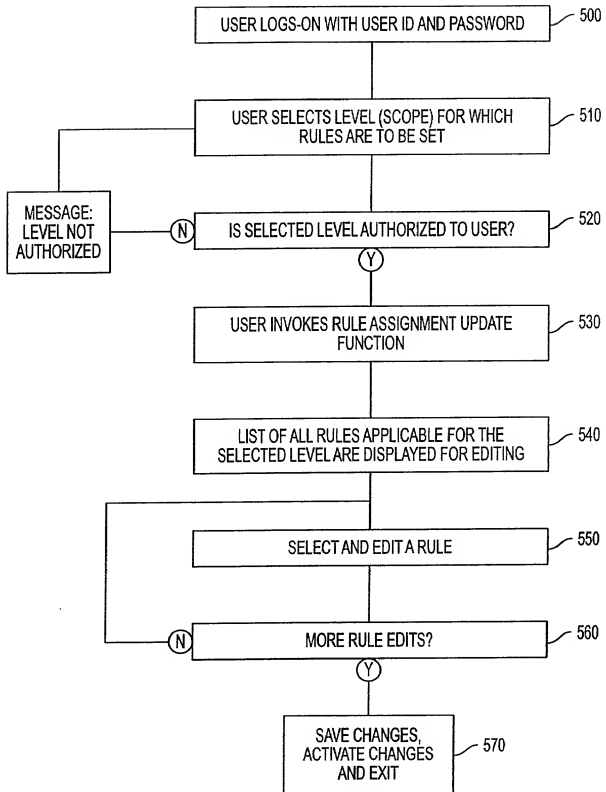


FIG. 5

12345678901234567890123456789012345678901234567890123456789012345678901234567890

G8E6 RULES ASSIGNMENT DEFINITION				01/29/99 10:21		
FUNCTION: RAMN		CORR: 40V	ACCOUNT: _____	DATA: _____	NEXT: _____	
MORE PAGES AVAILABLE				PAGE 1 OF 2		
RR: _____				PARM	GROUP	
ACT	INHERITED	OUT	RULE	RULE DESCRIPTION	IND	ID
---	---	---	---	---	---	---
P	P	S	1011	ACCOUNT CLOSE CHECK		
P	P	S	1012	ACCOUNT TRANSFER CHECK		
P	P	S	1013	ACCOUNT PENDING CLOSE		
P	P	A	1014	OPTION EXPIRATION		
P	P	A	1017	ADOPTION AGREEMENT		
P	P	S	1018	MARGIN ORDER IN RETIREM		
P	P	S	1019	SHORT SALE IN RETIREMEN		
P	P	A	1052	OPTION PAPARS OF FILE		
Y		A	1080	EQUITY SELL		
Y		A	1081	EQUITY BUY TO COVER RUL		
Y		A	1082	SELL TO CLOSE RULE		
Y		A	1083	SELL TO OPEN RULE		
Y		A	1084	BUY TO CLOSE RULE		
		A	1085	EQUITY SHORT SALE		
P	P	A	1101	MARGIN PAPERS		

1=HELP 3=PREV 4=SAVE 5=CANCEL 7=BACK 8=NEXT 9=RULE CODE 10=RULE PARM 12=MENU

FIG. 6

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G8E6                                RULE CODE DEFINITION                                02/22/99 10:08
FUNCTION: RCODE CORR: _____ ACCOUNT: _____ DATA: _____ NEXT: _____
RULE CODE DISPLAYED

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RULE CODE          : 1141 (NUMERIC)
CATEGORY CODE      : (SY/P/PS OR SPACE)
OUTCOME            : A (W/S/A/D)
PARM INDICATOR     : Y (Y/N)
GROUP ID           : _____ (NUMERIC)
RULE DESCRIPTION    : TRADING LIMIT RULE BY DOLLAR AMOUNT

RULE MESSAGE       : TRADING LIMIT EXCEEDED

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PF: 1=HELP 3=PREVIOUS 4=UPDATE 5=CANCEL 7=BACK 8=FORWARD 12=MENU

FIG. 7

G8E6                      RULE PARAMETER                      02/22/99 10:11    PAGE: 01

FUNC:       CORR:       ACCT:       RR:       DATA:

	EQUITY	MUTUAL-FUNDS	OPTION	FIXED-INCOME
PRCPLAMT - CUS	10000	50000	10000	100000
PRCPLAMT - BKR	100000	100000	50000	250000

FIG. 8

FIG. 8



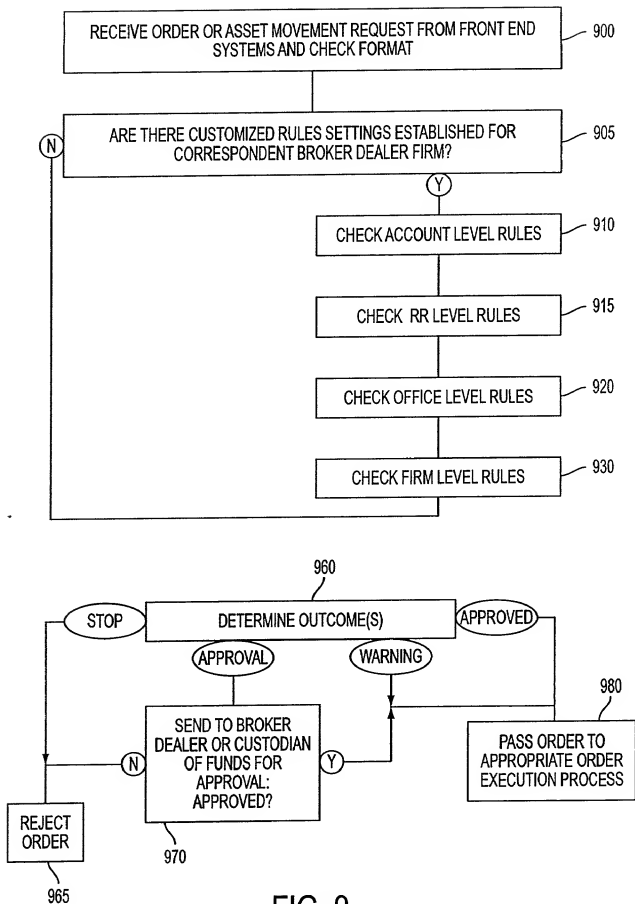


FIG. 9